



UNITED STATES PATENT AND TRADEMARK OFFICE

Page 1 of 1

O I P E
FEB 05 2001
COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/699,262	10/27/2000	Kai Cieleibak	CH919990038US1

IBM CORPORATION
INTELLECTUAL PROPERTY LAW DEPT.
P.O. BOX 218
YORKTOWN HEIGHTS, NY 10598

FORMALITIES LETTER



OC000000005645928

Date Mailed: 12/29/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.


Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

02/07/2001 ETULU1 00000069 090469 09699262

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Kai Cieleibak et al.

Date: February 1, 2001

Serial No.: 09/699,262

Group Art Unit: 2161

Filed: October 27, 2000

Box Missing Parts

For: PORTFOLIO THEORY METHOD OF
MANAGING OPERATIONAL RISK
WITH RESPECT TO NETWORK
SERVICE-LEVEL AGREEMENTS



**NOTICE TO FILE MISSING PARTS OF
APPLICATION - FILING DATE GRANTED**

To the Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application - filing date granted, mailed January 10, 2000, copy attached, enclosed for filing is a Declaration and Power of Attorney signed by the inventors for the above-identified patent application.

Also attached for filing is an Assignment of the invention to the International Business Machines Corporation for the above-identified patent application.

The commissioner is hereby authorized to charge Deposit Account 09-0469 \$170.00 in payment of the following fees associated with this communication, including any readjustment thereof. A duplicate copy of this sheet is enclosed.

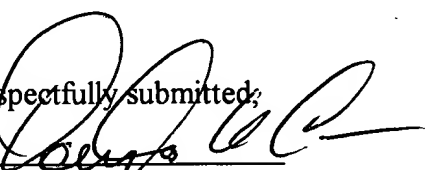
\$130.00 SURCHARGE FEE FOR FILING MISSING PARTS

40.00 FEE FOR FILING ASSIGNMENT

\$170.00 TOTAL

Respectfully submitted,

by


Douglas W. Cameron
Attorney for Applicants
Reg. No. 31,596
Tel. (914) 945-3244

IBM Thomas J. Watson Research Center
P. O. Box 218 - 39-254
Yorktown Heights, N.Y. 10598

CH919990038US1



Atty. Docket No. CH919990038U1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Kai Cieleibak et al.

Group No.: 2161

Filed: October 27, 2000

Box Missing Parts

Serial No.: 09/699,262

For: PORTFOLIO THEORY METHOD OF MANAGING
OPERATIONAL RISK WITH RESPECT TO NETWORK
SERVICE-LEVEL AGREEMENTS

Assistant Commissioner for Patents
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 CFR 1.53(b)

I hereby certify that the following **attached** correspondence comprising:

Response to Notice to File Missing Parts of Application -
Filing date Granted
Copy of USPTO's Notice to File Missing Parts of Nonprovisional Application
Declaration and Power of Attorney
Assignment
Assignment Transmittal Sheet
Self-addressed Postcard

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents

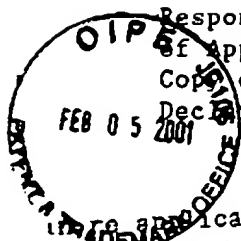
Washington, D.C. 20231

on February 1, 2001.

Lucille Fourgeot
(Name of person mailing paper or fee)

Lucille Fourgeot
(Signature of person mailing paper or fee)

#5



Response to Notice to File Missing Parts
 of Application - Filing Date Granted
 Copy of USPTO's Notice to File Missing Parts
 Declaration and Power of Attorney, Assignment and
PLEASE STAMP & RETURN TO US Transmittal
 Sheet

Application of: Kai Cieleibak et al.
~~FOR: PORTFOLIO THEORY METHOD OF MANAGING OPERATIONAL RISK~~
~~WITH RESPECT TO NETWORK SERVICE LEVEL AGREEMENTS~~
 Serial No 09/699,262 : Docket No.: Atty.: DWC
 Received in the U.S. Patent & Trademark Office: CH919990038US1
 No. of pages of specification : No. of pages of claims
 No. of sheets of drawings:

Declaration is attached to specification.

All fees are charged to our Account No. 09-0468

IBM
YORKTOWN

200 FEB 12 AM 11:51

INTELLECTUAL PROPERTY
LAW DEPT.



Old Stone Row, Middlebury College, Vermont

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